



New Jersey Department of Children and Families Policy Manual

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Purpose 7-7-93

Grants policies and procedures provide an effective, efficient and timely process by which CP&P applies for, secures, administers and monitors research or demonstration projects funded through grants awarded by federal, state or private foundation sources. CP&P' goal is to seek grants that are designed to establish or improve services to children and families and to strengthen family life through the provision of community supports.

The grantsmanship process seeks to:

- maximize CP&P' capacity to obtain and utilize these special funds;
- prepare and submit grant applications in a timely manner;
- ensure that CP&P meets its obligations as specified in the grant application, CP&P grants management policy and CP&P Grants Fiscal Handbook;
- monitor and track all grants to ensure accountability; and
- improve CP&P' capacity to integrate innovative service concepts/approaches that were tested in grant projects into CP&P operations through information-sharing with the Office of Program Operations, the Office of Policy, Planning, Budgeting and Accountability and other appropriate CP&P offices and staff members including the CP&P Senior Staff.

Roles and Responsibilities 7-7-93

Grants Manager Responsibilities

The grants process is dependent on timely and thoughtful contributions by various units/offices within CP&P. The CP&P Grants Manager, located in the

Bureau of Research Evaluation and Quality Assurance (BREQA), is responsible for:

- coordinating and directly participating in the grants preparation and application process;
- ensuring prompt implementation of approved grants projects;
- monitoring grant projects to ensure that project goals and objectives are addressed, that the terms of the grant are adhered to, and that projects are in compliance with CP&P grants management policies;
- serving as a central control point for all grant activities;
- overseeing the termination of grant projects;
- notifying the Office of the Commissioner immediately when a new grant is approved by completing the “Notice of New Contract, Contract Expansion, Grant or Loan” form;
- alerting the Department’s Grants Coordinator, at least four weeks prior to the filing date or as soon as possible, when a request for proposal (RFP) is received or of intent to apply for a grant, by submission of the Grant Alert form;
- submitting a grant synopsis to the Office of the Commissioner for approval, prior to submitting the grant proposal;
- preparing the Application for Non-State Funds, Form BB-4 or equivalent, in accordance with the budget section of the grant proposal;
- completing the Grant Development Questionnaire and submitting it, together with both the completed grant proposal and the completed BB-4, or equivalent, to the Department’s Grant Coordinator at least three working days prior to the deadline for submission of the proposal;
- securing the signature of the Assistant Commissioner of Budget, Finance and Administration or the CP&P Director upon receipt of the approved grant synopsis from the Office of the Commissioner;
- making the required number of copies and mailing the proposal, return receipt requested, after the Assistant Commissioner or CP&P Director has signed it;
- notifying the Department’s Grants Coordinator when a grant is awarded or denied; and

- notifying the Department's Grants Coordinator, in writing (or orally with written follow-up), of any indication from a funding source that the funding level of an existing grant may change.

Grants Liaison Responsibilities

Each Senior Staff member and each Area Director is responsible for designating a grants liaison to represent the Senior Staff member's area of responsibility and region, respectively. The liaisons serve as agents to:

- ensure that appropriate units/offices are aware of information about funding opportunities that have been circulated by the Grants Manager;
- propose only those programs or projects that represent and reflect the particular needs of the region or Senior Staff member's area of responsibility and that offer opportunities to improve services to clients; and
- assist field, regional and central office staff members in the development of a file of needs and concepts so that, when grant opportunities arise, ideas can quickly be developed;
- submit grant concepts of proposed ideas to the CP&P Grants Manager as grant opportunities arise. (The CP&P Grants Manager will forwarded to Senior Staff for final approval); and
- participate with BREQA staff in the development and writing of grant proposals in a manner that is consistent with requests for proposals and in accordance with the needs and organizational structure of the respective regional or central office where the project will be located.

Grant liaisons or their designees (including other agency or non-agency personnel) will assume the lead role in the preparation of the first draft of all entitlement and discretionary grant applications. The CP&P Grants Manager and/or other BREQA staff will participate in the editing, formatting and approval of the final draft of the grant proposal.

Office of Accounting Responsibilities

The DCF Office of Accounting is responsible for:

- preparing all fiscal reports;
- approving proposed project budgets;
- establishing appropriate accounts so that personnel positions can be established and funds can be expended in a timely manner;

- completing, in conjunction with the CP&P Grants Manager, appropriate sections of Attachment A and B of the Department's Grant Alert;
- establishing index codes or other appropriate accounting information identifying the grant;
- producing timely and accurate financial reports in accordance with generally accepted accounting principles and specific funding agency regulations and giving copies of the reports to the Department's Office of Finance and Accounting, Bureau of Revenue Management;
- maintaining financial data necessary to substantiate financial reports and facilitate audit/review by State or other funding agencies;
- monitoring the expenditure of grant funds; and indicating "electronic funds transfer" as the method of payment for federal funds.
- The Grant Alert provides the DHS, DCF, and the Department of Treasury with necessary information to establish the grant and make funds available.

Grants Coordinator's Role

The Grants Coordinator (as appropriate) reviews the final grant application package prepared by the Grants Manager prior to seeking the Commissioner's signature.

The Department Grants Coordinator shall:

1. provide technical assistance in completing grant applications, Grant Development Questionnaires and BB-4s, or equivalent;
2. ensure the completed Grant Development Questionnaire, grant proposal, and BB-4, or equivalent, are received from the appropriate division or central office unit in a timely manner and review the documents for thoroughness and accuracy;
3. immediately forward a copy of the Grant Development Questionnaire, grant proposal, and BB-4, or equivalent, to the Department's Office of Budget Planning;
4. forward a copy of the Grant Development Questionnaire to the Department's Office of Auditing and the Office of Finance and Accounting, Bureau of Revenue Management;
5. notify the Department's Contract Policy and Management Unit if the service delivery mechanism may entail subcontracting;
6. notify the Department's Office of Facilities Support Services of any grant proposals and grant awards that require structural changes in a facility or the construction or purchase of a new facility;

7. notify all appropriate parties of any changes to any of the above documents;
8. immediately notify the Department's Office of Finance and Accounting, Bureau of Revenue Management of any approved grant proposals and grant awards involving federal funds; and
9. immediately notify the Department's Office of Budget Planning of all grant awards (federal, State, other).

Preparation and Submission of Grant Application

Distribution of Information Regarding Grant Opportunities 10-27-89

CP&P staff learn of the availability of public or private grant opportunities through a variety of sources (e.g. the Federal Register, newsletters, and other written documents/publications, community organizations, etc.). Upon receipt of such information, the Grants Manager notifies appropriate central office administrators, Area Directors and all grant liaisons (three regionally based grants liaisons and the liaisons representing each CP&P Senior Staff member) to determine whether there is interest to pursue funding. The CP&P Grants Manager makes every effort to alert staff members in advance of future Requests for Proposals (RFPs), etc. Prior to sending out a complete package of information on a discretionary grant opportunity, the CP&P Grants Manager sends a one-page Grant Alert to Area Directors, grants liaisons, and County Service Specialists.

After discretionary grant opportunities have been disseminated as noted above, the CP&P Grants Manager, if time permits, invites grant liaisons to a one-day meeting in Trenton to discuss the opportunities. The grants liaisons are responsible for communicating with staff of the various central, regional, district and other field offices that are located within their respective spheres of operation to identify responsive concepts and to gauge interest in sponsoring an application.

Any unit -- whether central, area or local office -- learning of a grant opportunity for which it is interested in applying, contacts the Grants Manager and grants liaison immediately by telephone and confirms this interest in a follow-up memorandum. Unless authorized by the CP&P Grants Manager, staff are not to proceed with the development of a proposal. In no case shall any unit within CP&P submit an application directly to the funding source for new or continuation funds. The Commissioner or his/her designee signs off on all completed grant application proposals.

Decision on Grants Concepts 10-27-89

Regional and central office grants liaisons submit concepts and ideas for grant proposals through the Area Director or CP&P Senior Staff member, respectively, to the CP&P Grants Manager. The Grants Manager summarizes the proposals and circulates written summaries of them through the BREQA Bureau Chief to the CP&P Senior Staff. Based on these comments, the Grants Manager makes

written recommendations and forwards them through the Assistant Director, CP&P Operations Accountability, to the CP&P Director for a decision as to which proposal(s) will be developed for submission to the granting authority.

The Grants Manager then sends written notice to the appropriate grant liaison(s) and BREQA staff of those proposals that the CP&P Director has authorized to be developed and prepared for submission as grant applications. The grants liaisons notify individuals whose proposals were not selected for submission as grant applications. The Grants Manager establishes time frames that allow sufficient time to plan, coordinate, develop and prepare a lucid, competitive proposal within the constraints of the granting authority's and DHS, DCF, and CP&P policy time frames.

Preparation of Formal Applications 10-27-89

Under the direction of the BREQA Assistant Chief for Research and Evaluating, the CP&P Grants Manager ensures that new grant proposals and applications that request continuation grant awards are prepared in a timely manner. The CP&P Grants Manager establishes deadlines and time frames for proposed development that are consistent with policy and procedures, with CP&P procedures, and with the requirements of the granting authority. The CP&P Grants Manager gains the approval/signature of the Commissioner or his/her designee -- through and with the approval of the Assistant Director, Operations Accountability and the CP&P Director -- and then sends the signed application to the granting authority. Under no circumstances can an application for federal or foundation funds be signed, authorized or submitted directly to the funding source by a local, regional, or CP&P field or central office manager.

The CP&P Grants Manager ensures that CP&P practice conforms to provisions of the Grants Development and Coordination policy transmittal known as IPM 85-4, which was promulgated on August 1, 1985. The Grants Manager is responsible for ensuring CP&P practice conforms to this policy. In instances where requests for proposals do not allow a 15 day review period, the CP&P Grants Manager contacts the Grants Coordinator to establish a period for DHSDCF review that still allows the development of the proposal within the grant submission deadline.

Fiscal Review and Approval 10-27-89

The CP&P Grants Manager sends all proposed budgets for review and approval to the Office of Accounting. In accordance with policy (IPM 85-4), all proposed budgets reflect approved rates of fringe benefits and indirect costs that are consistent with federal and state guidelines. Grant-funded personnel are specified in accord with CP&P personnel procedures.

Review by Management 10-27-89

At least 18 working days prior to the due date of the granting authority, the CP&P Grants Manager, circulates all draft grant applications to the appropriate Senior

Staff members for review, revision or other recommendations. This is consistent with DHSDCF policy, which requires a review period of 15 days.

Submission of Final Applications and Distribution 10-27-89

After the completed grant application (new or continuation) is signed by the authorized signatory (i.e., the Governor, the Commissioner, or the CP&P Director), the Grants Manager transmits it to the granting authority. The Grants Manager then sends copies of the application to appropriate units in CP&P, DCF, and DHS in a timely manner.

Grant Award, Operations and Reports

Notification of Award 10-27-89

The CP&P Grants Manager serves as the central point of contact for granting authorities and distributes the Notice of Grant Award immediately upon receipt of such notice to the appropriate Senior Staff member(s) and/or Area Director(s) and to all appropriate units. The Grants Manager also distributes the CP&P Grants Management Handbook to the project director and supervisor; the Handbook outlines and provides detailed guidance grant start-up activities.

Operations 10-27-89

Start-Up 10-27-89

Upon notification of approval of a grant award, the appropriate Senior Staff member or Area Director directs, initiates and follows through on start-up activities. The Senior Staff member/Area Director initiates efforts to recruit a project director to begin project operations, if called for in the proposal narrative. The CP&P Senior Staff members/Area Director take steps, as appropriate, to request approval to establish budgeted position numbers or other means of hiring project staff members. If approval is received, the CP&P Senior Staff member/Area Director proceed to hire the project director and staff, if any. The CP&P Grants Manager monitors start-up activities to ensure that the terms of the grant are met in a timely manner.

Full Operations 10-27-89

The project director completes all project activities outlined in the application within established time frames. The project director is responsible for day-to-day supervision and operation of the project. The project director brings to the attention of the CP&P Grants Manager any serious or unusual problems that might impede progress on project goals. The CP&P Grants Manager takes action to notify the CP&P Senior Staff member of problem areas. The project director is responsible for resolving such problems and reporting to the grants manager on corrective actions initiated completed, to ensure proper administration of grant projects.

Quarterly and Final Reports 10-27-89

Quarterly Reports 10-27-89

The project director and/or unit responsible for project supervision prepares all required reports. They send quarterly reports through the respective Senior Staff member or Area Director or his designated agent to the CP&P Grants Manager. The CP&P Grants Manager forwards such reports to the granting authority in a timely manner.

Final Reporting Products 10-27-89

Final Report 10-27-89

The project director prepares the final reports with assistance provided by the supervisory site unit. The Bureau of Research, Evaluation and Quality Assurance provides technical assistance as needed. The project director submits the final reports through the Central Office/Area Director to the Grants Manager, who transmits them to the appropriate Senior Staff member for final review and approval. The CP&P Grants Manager then submits the report, as edited, to the grant authority.

Evaluation Report 10-27-89

Project evaluation reports, when required in the grant project, are subject to the review and approval of the Bureau of Research, Evaluation and Quality Assurance (BREQA).

The evaluator submits the final draft of the evaluation report to the Chief of BREQA for approval and comments; the report shall have been reviewed previously and the methodology approved by the Chief of BREQA. The evaluator then submits the final report to the CP&P Grants Manager, the project director, and the project site supervisor. The CP&P Grants Manager sends the report to the appropriate Senior Staff member for review and comments. The CP&P Grants Manager then transmits the final report, as revised, to the grant authority.

Distribution of Final Reports 10-27-89

Upon approval by the appropriate Senior Staff member, the CP&P Grants Manager sends the final reports to the granting authority.

Broader distribution of the final report requires the prior approval of the Office of Community Education and Advocacy.

Program Control

Monitoring 10-27-89

The Grants Manager establishes a schedule of and conducts site visitations to monitor the activities of the project and to ensure that the project is proceeding according to terms of the approved project proposal. Projects that are in their second or third year of operation are monitored through a minimum of three site visits a year, with the initial visit taking place within the first three months of the

date the grant project was approved. More frequent visits will occur at the discretion of the CP&P Grants Manager.

The CP&P Accountant responsible for grants accompanies the Grants Manager on site visits, as necessary, to ensure that good accounting and record keeping procedures are being followed and that programs are spending according to their approved budget.

Inventory of Grant Projects 10-27-89

The CP&P Grants Manager is responsible for maintaining an inventory of grant projects. This inventory is updated quarterly and covers current projects and pending applications. The inventory contains information on:

- the granting authority;
- brief narrative description of each grant project;
- time frames for project completion;
- special services;
- fiscal allocation; and
- project staffing.

The Grants Manager sends a copy of the current inventory on a quarterly basis to the Grants Coordinator and to the Assistant Director, CP&P, Operations Accountability with the BREQA monthly report.

Liaisons to Public and Private Agencies and Organizations Outside the Division 10-27-89

The Grants Manager is designated as the liaison to public and private agencies and organizations outside the Division with whom the Division receives grant funds or applies for grant funds. The Grants Manager is also designated as the State Liaison Officer to the National Center on Child Abuse and Neglect (NCCAN) and, as such, coordinates the preparation of the annual State Eligibility Statement that is submitted to the Governor for certification and signature.

The Grants Manager is also responsible for:

- serving as the single contact point for all outside requests seeking letters of support for funding proposals. All such requests are referred to the Grants Manager who then solicits input from various units and prepares an appropriate draft transmittal for the signature of the CP&P Director or his/her designee. Under no circumstances should letters of support be provided without prior knowledge and concurrence of the Grants Manager. The Grants Manager may approve letters of support

that are signed by Area Directors or unit managers with the approval of an appropriate Senior Staff member or Area Director;

- conducting and coordinating activities required by the State Review Process, including disseminating CP&P grant proposals and reviewing outside agency proposals, as required;
- submitting appropriate grant materials to the CP&P Institutional Review Board for its review and approval and for ensuring that changes, if any, that are recommended by the Institutional Review Board are instituted; and
- developing new sources of funding for prospective Division research and demonstration projects.

Continuation/Termination of Grants Projects

Notice of Grant Termination Date 10-27-89

The CP&P Grants Manager notifies the appropriate CP&P Senior Staff member(s) when a grant is nearing its termination date and that a decision needs to be made whether the project/programs will be continued with regular State funds or be allowed to expire. Senior Staff members, who are notified routinely by the CP&P Grants Manager, include those who are responsible for the:

- CP&P budget (CP&P Budget Office);
- CP&P policy articulation and development (CP&P Office of Policy, Planning and Support); and
- CP&P program area in which the project/program operates (most often this member will be the Assistant Director for Program Operations).

The CP&P Grants Manager sends this notice 120 days prior to the grant's expiration date. This notice shall provide relevant information on the program that will be helpful to Senior Staff members in recommending further action.

Recommendation to Continue/Discontinue/Expand the Program Initiative 10-27-89

The Senior Staff group noted above sends written comments and a recommendation on the proposal to the CP&P Director. The written recommendation proposes that the program initiative be: a) continued or expanded with State funds; or b) terminated at the conclusion of the grant period. The Senior Staff member responsible for the program's operations sends the recommendations to the CP&P Director no later than 15 working days after being notified by the Grants Manager that the project will expire within 120 days.

Decision by the CP&P Director to Continue, Expand, or Terminate the Program Initiative 10-27-89

Upon receipt of the recommendation by the CP&P Senior Staff group, the CP&P Director decides whether the program initiative will be;

- continued or expanded with State funds after the grant expires; or
- terminated at the conclusion of the grant period.

The Assistant Commissioner notifies the Senior Staff group, the Chief of BREQA, and the Grants Manager of the decision within five working days following receipt of the recommendation by the Senior Staff group.

Identification of Responsibility When the Program Initiative Will Continue with State Funds 10-27-89

Upon a decision by the CP&P Director to continue or to expand the program, the Assistant Director, Fiscal and Management Operations identifies and allots funds consistent with the decision to continue/expand the program.

The appropriate Senior Staff member submits an appropriate funding request to the CP&P Budget Office in September for the upcoming fiscal year. This is to ensure the availability of State funds to finance projects that are to be continued or expanded after grant monies expire. Generally, this funding request employs a formula based on 50 percent of all grant monies that will expire in the ensuing fiscal year.

The Senior Staff member responsible for operating the program proceeds with continuing or initiating program operations, as appropriate.

Responsibility of the CP&P Grants Manager 10-27-89

The CP&P Grants Manager is responsible for notifying the CP&P Office of Personnel Services and the Budget Office that grant funding will terminate. The Grants Manager sends the notice at least 60 days prior to the expiration of the grant.